

STATEMENT OF ECONOMIC INTERESTS
A Public Document

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DIST. SECRETARY'S OFF.

NAME DANIEL D. RICHARD DAYTIME TELEPHONE NUMBER (415) 973-4382
MAILING ADDRESS STREET CITY ZIP CODE
8 MEADOW CT. ORINDA CA 94563

1. Office, Agency or Court

BAY AREA RAPID TRANSIT DISTRICT

Division, Board, District, if applicable:

DISTRICT 1

Position:

DIRECTOR

➤ Is the position covered by a conflict of interest code?
☒ Yes ☐ No

➤ If filing an expanded statement list agency/position:
(attach a separate sheet if necessary)

SAN FRANCISCO BAY AREA TRANSIT
FINANCING AUTHORITY

2. Office Jurisdiction (Check one)

☐ State ☐ County of _____

☐ City of _____

☒ Multi-County SPECIAL DISTRICT

3. Type of Statement (Check at least one box)

☐ Assuming Office/Initial Date: ____/____/____
(Check one)

☐ Elected Official

☐ Appointed Official (includes individuals newly hired)

☒ Annual - FOR BART BOARD
(Check one)

☒ The period covered is January 1, 1996 through December 31, 1996.

☐ The period covered is ____/____/____ through December 31, 1996.

☒ Leaving Office Date Left: ____/____/____
(Check one) FOR FINANCING AUTHORITY

☒ The period covered is January 1, 1996 through the date of leaving office.

☐ The period covered is ____/____/____ through the date of leaving office.

☐ Candidate

4. Schedule Summary

(Check one box for each schedule)

During the reporting period, did you have any reportable interests to disclose on:

Schedule A-1 ☒ No ☒ Yes-attach schedule
Investments (Less than 10% Ownership)

Schedule A-2 ☐ No ☒ Yes-attach schedule
Investments (Greater than 10% Ownership)

Schedule B ☒ No ☐ Yes-attach schedule
Real Property

Schedule C ☐ No ☒ Yes-attach schedule
Income & Business Positions (Income Other than Loans, Gifts and Travel)

Schedule D ☒ No ☐ Yes-attach schedule
Income - Loans

Schedule E ☒ No ☐ Yes-attach schedule
Income - Gifts

Schedule F ☒ No ☐ Yes-attach schedule
Income - Travel Payments

➤ The number of pages attached:

☐ None (no reportable interests) Number of pages 1

5. Verification

I have used all reasonable diligence in preparing this statement. I have reviewed the statement and to the best of my knowledge the information contained herein and in the attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on April 1, 1997 19 97
(month, day) (year)

SIGNATURE Daniel D. Richard

INSTRUCTIONS – SCHEDULES A-1 and A-2 INVESTMENTS

"Investment" means any financial interest in any business entity located in or doing business in your agency's jurisdiction (see Appendix) in which you, your spouse, or your dependent children had a direct, indirect, or beneficial interest aggregating \$1,000 or more at any time during the reporting period.

Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts.
- Business trusts.
- Sole proprietorships.
- Partnerships (e.g., law firm, family farm, etc.).
- Retirement accounts which hold investments in reportable business entities or real property (see Appendix).
- Investments held by a business entity or trust (including a living trust) in which you, your spouse, or dependent children had a 10% or greater ownership interest.

You are not required to disclose the following:

- Bank accounts, savings accounts, and money market accounts.
- Insurance policies.
- Shares in a credit union.
- Government bonds.
- Diversified mutual funds registered with the Securities and Exchange Commission (SEC).
- Retirement accounts invested in non-reportable interests such as insurance policies, diversified mutual funds or government bonds (see Appendix).
- Interests held in a blind trust (see Appendix).

REMINDERS

- ✓ Do you know your agency's jurisdiction?
- ✓ Did you hold investments at any time during the period covered by this statement?
- ✓ Code filers - Your code may require disclosure of specific investments only.

Use Schedule A-1 to report investments if your ownership interest in the entity was less than 10% (e.g., utility stock). You may also be required to complete Schedule C.

Use Schedule A-2 to report investments in which your ownership interest in the entity was 10% or greater (e.g., sole proprietorship). (See instructions on the back of Schedule A-2.)

TO COMPLETE SCHEDULE A-1:

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, communications, etc.).
- Check the box indicating the fair market value of your investment (i.e., how much your investment was worth on the open market at its highest value during the period).
- Identify the nature of your investment (e.g., stocks, warrants, options, bonds).
- If you acquired or disposed of your investment interest during the reporting period, enter the date acquired or disposed.

Examples:

John Smith is a manager for a state agency. His conflict of interest code requires full disclosure of investments. John must disclose his stock holdings of \$1,000 or more in any company that does business in California as well as those held by his spouse and dependent children.

Susan Jones is a city council member. She has a 4% interest in a limited partnership located in the city which is worth \$5,000. Susan must disclose the partnership on Schedule A-1 and income of \$250 or more received from the partnership on Schedule C.

Alice Howard supervises the purchasing department of a governmental agency. She owns stock in a utility company which only does business in New York. Alice is a code filer and her disclosure category requires reporting of investments of the type that supply services or supplies to the agency. She is not required to report the utility company stock because the company does not do business in her jurisdiction.

Investments, Income and Assets of Business Entities/Trusts

(Ownership Interest is 10% or Greater)

CALIFORNIA
1996/97 FORM **700**
FAIR POLITICAL PRACTICES COMM.

Name

DANIEL D. RICHARD**1. BUSINESS ENTITY OR TRUST**

MORSE, RICHARD WEISENMILLER & ASSOC. INC.

Name STE 1440
1999 HARRISON OAKLAND CA 94612

Address

Check one ☐ Trust, go to 2 ☒ Business Entity, complete the box, then go to 2

GENERAL DESCRIPTION OF BUSINESS ACTIVITYENERGY CONSULTING / FINANCIAL SERVICES**FAIR MARKET VALUE**

IF APPLICABLE, LIST DATE:

- ☐ \$1,000 - \$10,000
☐ \$10,001 - \$100,000
☒ Over \$100,000

8 / 1 / 96 1 / 1 / 96
 ACQUIRED DISPOSED

NATURE OF INVESTMENT

- ☐ Sole Proprietorship ☐ Partnership ☒ CORPORATION
DIRECTOR Other

BUSINESS POSITION (if applicable) EXEC. VICE PRESIDENT

2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)

- ☐ \$250 - \$1,000 ☐ \$1,001 - \$10,000 ☒ OVER \$10,000

3. LIST EACH REPORTABLE SOURCE OF INCOME/LOANS OF \$10,000 OR MORE (attach a separate sheet if necessary)SEE ATTACHED PAGE**4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD BY THE BUSINESS ENTITY OR TRUST**

Check one circle:

☐ REAL PROPERTYN/A

Street address or precise location

City

☐ INVESTMENTN/A

Name of Business Entity

Description of Business Activity

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

- ☐ \$1,000 - \$10,000
☐ \$10,001 - \$100,000
☐ Over \$100,000

1 / 1 / 96 1 / 1 / 96
 ACQUIRED DISPOSED

NATURE OF INTEREST

- ☐ Property Ownership ☐ Deed of Trust ☐ Stock ☐ Partnership

☐ Leasehold _____
 Yrs. remaining

☐ Other _____

4. (cont.) Check one circle:☐ REAL PROPERTY

Street address or precise location

City

☐ INVESTMENT

Name of Business Entity

Description of Business Activity

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

- ☐ \$1,000 - \$10,000
☐ \$10,001 - \$100,000
☐ Over \$100,000

1 / 1 / 96 1 / 1 / 96
 ACQUIRED DISPOSED

NATURE OF INTEREST

- ☐ Property Ownership ☐ Deed of Trust ☐ Stock ☐ Partnership

☐ Leasehold _____
 Yrs. remaining

☐ Other _____

4. (cont.) Check one circle:☐ REAL PROPERTY

Street address or precise location

City

☐ INVESTMENT

Name of Business Entity

Description of Business Activity

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

- ☐ \$1,000 - \$10,000
☐ \$10,001 - \$100,000
☐ Over \$100,000

1 / 1 / 96 1 / 1 / 96
 ACQUIRED DISPOSED

NATURE OF INTEREST

- ☐ Property Ownership ☐ Deed of Trust ☐ Stock ☐ Partnership

☐ Leasehold _____
 Yrs. remaining

☐ Other _____

Comments: _____

Additional Information
Schedule A-2

Question 3 List Each Reportable Source of Income/Loans (Include Your Pro Rata Share of the Gross Income to the Entity/Trust)

Civic Bank of Commerce
New Energy Ventures, Inc.
AES Pacific, Inc.
American National Power
Arthur Anderson LLP
Bank of America
BA Securities, Inc.
Banque Paribas
Bonneville Power Administration
CalEnergy Company, Inc.
Calpine Corporation
Canadian Imperial Bank of Commerce
Chadbourne & Parke LLP
Community Energy Alternatives, Inc.
CMS Generation
Credit Suisse
Dow Chemical Corporation
Hedlund, Hanley & John
Beck, Redden & Secrest
Entergy Power Group
El Paso Energy Co.
Folger & Levin LLP
Grueneich Resource Advocates
GWF Power Systems, Inc.
Pacific Gas & Electric Co.
Exergy, Inc.
Independent Energy Producers Association
Mobil Oil Corporation
Mojave Pipeline Co.
Morrison & Foerster LLP
Parsons Brinkerhoff Quade & Douglas
Nations Energy
Energy Initiatives, Inc.
General Electric Credit Corporation
John Hancock Mutual Life Insurance Co.
Prudential Insurance Co. of America
Union Bank of California
Portland General Electric Co.
Pacific Generation Co.
Orrick Herrington & Sutcliffe
Pacific Gas Transmission Co.
Sith Energies, Inc.
The Sumitomo Bank, Ltd.
Tenet Health System
United American Energy Corporation
Unocal Corporation
CMS Generation
UtilCo Group

Income & Business Positions

(Income Other Than Loans, Gifts and
Travel Payments)CALIFORNIA
1996/97 FORM **700**
FAIR POLITICAL PRACTICES COMM.

Name

DANIEL D. RICHARD

> NAME

MORSE RICHARD WEISENMILLER & ASSOCIATES

ADDRESS OAKLAND, CA 94612 INC.

1999 HARRISON STREET SUITE 1440

BUSINESS ACTIVITY, IF ANY, OF SOURCE

ENERGY CONSULTING / FINANCIAL SERVICES

BUSINESS POSITION, IF APPLICABLE (Code Filers Only)

DIRECTOR, EXEC. VICE PRESIDENT

GROSS INCOME RECEIVED

☐ \$250 - \$1,000 ☐ \$1,001 - \$10,000 ☒ Over \$10,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

☒ Salary ☐ Spouse's income ☐ Loan repayment☐ Sale of _____
(Property, car, boat, etc.)☐ Commission or ☐ Rental Income, list each source of \$10,000 or more☐ Other _____

> NAME

CONTRA COSTA NEWSPAPERS, INC.

ADDRESS

NEWSPAPER PUBLISHING

BUSINESS ACTIVITY, IF ANY, OF SOURCE

2600 SHADELANDS WALNUT CREEK

BUSINESS POSITION, IF APPLICABLE (Code Filers Only)

N/A

GROSS INCOME RECEIVED

☐ \$250 - \$1,000 ☐ \$1,001 - \$10,000 ☒ Over \$10,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

☐ Salary ☒ Spouse's income ☐ Loan repayment☐ Sale of _____
(Property, car, boat, etc.)☐ Commission or ☐ Rental Income, list each source of \$10,000 or more☐ Other _____

> NAME

ADDRESS

BUSINESS ACTIVITY, IF ANY, OF SOURCE

BUSINESS POSITION, IF APPLICABLE (Code Filers Only)

GROSS INCOME RECEIVED

☐ \$250 - \$1,000 ☐ \$1,001 - \$10,000 ☐ Over \$10,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

☐ Salary ☐ Spouse's income ☐ Loan repayment☐ Sale of _____
(Property, car, boat, etc.)☐ Commission or ☐ Rental Income, list each source of \$10,000 or more☐ Other _____

> NAME

ADDRESS

BUSINESS ACTIVITY, IF ANY, OF SOURCE

BUSINESS POSITION, IF APPLICABLE (Code Filers Only)

GROSS INCOME RECEIVED

☐ \$250 - \$1,000 ☐ \$1,001 - \$10,000 ☐ Over \$10,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

☐ Salary ☐ Spouse's income ☐ Loan repayment☐ Sale of _____
(Property, car, boat, etc.)☐ Commission or ☐ Rental Income, list each source of \$10,000 or more☐ Other _____

Comments:

I INSTRUCTIONS – SCHEDULE D
INCOME - LOANS
(Received or Outstanding)

Loans received or outstanding during the reporting period, which aggregate \$250 or more from a single source located in or doing business in your jurisdiction (see Appendix), are reportable. Because loans are a type of income, your community property interest in loans received by your spouse must also be counted.

Commonly reportable loans include:

- Real estate loans.
- Margin accounts.
- Automobile loans and automobile leases.
- Campaign loans secured by your personal assets or for which you are personally liable.

You are not required to report the following:

- Any loan from a commercial lending institution used to purchase, refinance the purchase of, or for improvements to, your principal place of residence, if the loan was made in the lender's regular course of business on terms available to the public without regard to your official status. However, loans on other residences may be reportable.
- Loans from a commercial lending institution made in the lender's regular course of business on terms available to the public without regard to your official status which, in the aggregate, did not exceed \$10,000 at any time during the reporting period.
- Any retail installment or credit card debts incurred in the creditor's regular course of business on terms available to the public without regard to your official status if the aggregate amount owed to the creditor did not exceed \$10,000 at any time during the reporting period.
- Any loan from your spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin or the spouse of any such person, except that a loan from any such person is reportable if the person is acting as an intermediary or agent for any person not covered by this provision.
- Loans made to others. However, repayments may be reportable on Schedule C.
- A loan you co-signed for another person unless you made payments on the loan during the reporting period.

TO COMPLETE SCHEDULE D:

- Provide the name and address of the lender.
- Check the appropriate box describing the lender's business activity.
- Disclose the interest rate. For variable interest rate loans, disclose the terms of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period.
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify the security, if any, for the loan.

You are not required to disclose on Schedule D loans reported on Schedule A-2 or B.

Example:

Colleen Jones is a city council member. She received an equity loan on her principal place of residence in the amount of \$15,000 from a commercial lending institution which she used to buy an automobile. Colleen must report the equity loan because the loan amount was over \$10,000 and the money was not used to refinance or improve her principal residence.

REMINDERS

- ✓ Do you know your agency's jurisdiction?
- ✓ Did you receive any loans or have loans outstanding during the period covered by this statement?
- ✓ Code filers - Income includes any loan. Did you receive a loan from an entity or individual required to be reported as a source of income under your code?